

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application No.	10/630,131
Filing Date	July 30, 2003
First Named Inventor	George A. Lopez
Art Unit	3763
Examiner	Loan H. Thanh
Attorney Docket No.	ICUMM.011C8C5

SHEET 1 OF 5

## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
LT	1	3,852,385	12-03-1974	Huggins	
LT	2	4,842,591	06-27-1989	Luther	
LT	3	5,322,518	06-21-1994	Schneider et al.	
LT	4	6,428,520	06-08-2002	Lopez et al.	
LT	5	6,932,795	08-23-2005	Lopez et al.	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
LT	6	WO 93/11828	06-24-1993	ICU Medical, Inc.		
LT	7	WO 98/26835	06-25-1998	ICU Medical, Inc.		

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date; page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	8	Declaration of William B. Gont in Support of Alaris's Reply on Motion to Bifurcate the Issue of Willfulness From Liability Issues, dated September 27, 2004	
	9	ICU Medical's Fourth Set of Supplemental Responses to Alaris' First Set of Interrogatories No. 1, dated August 26, 2005	
	10	Alaris Medical Systems, Inc.'s Response to ICU Medical's Second Set of Interrogatory Nos. 15-22 to Alaris, dated October 21, 2005	
	11	Joint Stipulation Filed in Support of and in Opposition to Alaris's Motion to Compel ICU to Produce George A. Lopez for Depositions and Fully Participate in Discovery, dated December 19, 2005	
	12	Declaration of David D. Headrick In Support of Alaris's Memorandum in Support of its Motion to Bifurcate the Issue of Willfulness From the Liability Issues, dated January 13, 2006	
	13	Alaris's Memorandum in Support of its Motion To Bifurcate the Issue of Willfulness From the Liability Issues, dated January 13, 2006	
	14	ICU's Opposition to Alaris's Motion for Leave to Modify the Scheduling Order and File a Second Amended Answer and Counterclaims, dated January 23, 2006	
	15	Declaration of Joseph Warren in Support of ICU's Opposition to Alaris's Motion for Leave to Modify the Scheduling Order and File a Second Amended Answer and Counterclaim, dated January 23, 2006	
	16	ICU's Opposition to Alaris's Motion for Rule 11 Sanctions, dated January 23, 2006	
	17	Declaration of Alison D. Burcar in Opposition to Alaris Medical Systems, Inc's Motion for Rule 11 Sanctions, dated January 23, 2006	

Examiner Signature /Loan Thanh/ Date Considered 10/02/2006

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SHEET 2 OF 5	Attorney Docket No.	ICUMM.011C8C5

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LT	18	ICU Medical Inc.'s Opposition to Alaris Medical Systems, Inc.'s Motion for Partial Summary Judgment of Noninfringement of Claims 1, 3-4, 6-7 of Pat. No. 5,685,866, Claims 1-2 of Pat. No. 5,873,862 and Claims 11-12 and 16 of Pat. No. 6,572,592, dated January 23, 2006	
	19	Declaration of Bob Rogers in Opposition to Alaris Medical System's Inc.'s Motion for Partial Summary Judgment of Noninfringement of Claims 1, 3-4, 6-7 of Pat. No. 5,685,866, Claims 1-2 of Pat. No. 5,873,862 and Claims 11-12 and 16 of Pat. No. 6,572,592, dated January 23, 2006	
	20	Plaintiff ICU Medical, Inc.'s Animations Referenced in the Declaration of Bob Rogers in Opposition to Alaris's Motion for Partial Summary Judgment of Noninfringement of Claims 1, 3-4, 6-7 of Pat. No. 5,685,866, Claims 1-2 of Pat. No. 5,873,862 and Claims 11-12 and 16 of Pat. No. 6,572,592, dated January 23, 2006	
	21	ICU's Opposition to Alaris's Motion to Bifurcate the Issue of Willfulness from the Liability Issues, dated January 30, 2006	
	22	Declaration of James Pooley in Support of ICU's Opposition to Alaris's Motion to Bifurcate the Issue of Willfulness From the Liability Issue, dated January 30, 2006	
	23	Declaration of S. Christian Platt in Support of ICU's Opposition to Alaris's Motion to Bifurcate the Issue of Willfulness From the Liability Issues, dated January 30, 2006	
	24	Declaration of Marc David Peters in Support of ICU's Opposition to Alaris's Motion to Bifurcate the Issue of Willfulness From the Liability Issues, dated January 30, 2006	
	25	Defendant Alaris Medical Systems, Inc.'s Reply Memorandum in Support of its Motion for Leave to Modify the Scheduling Order and File a Second Amended Answer and Counterclaims, dated February 6, 2006	
	26	Supplemental Declaration of Scott P. McBride in Support of Defendant Alaris Medical Systems, Inc.'s Reply Memorandum of Points and Authorities in Support of Alaris's Motion for Leave to Modify The Scheduling Order and File a Second Amended Answer and Counter Claims, dated February 6, 2006	
	27	Reply Brief In Support of Alaris's Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, dated February 6, 2006	
	28	Defendant Alaris Medical Systems, Inc.'s Reply Brief in Support of Alaris's Motion for Sanctions to Fed.R.Civ.P. 11, dated February 6, 2006	
	29	Declaration of David D. Headrick in Support of Alaris's Reply Brief in Support of Alaris's Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims and Reply Brief in Support of Alaris's Motion for Sanctions to Fed. R. Civ. P. 11, dated February 6, 2006	
	30	Defendant Alaris Medical Systems, Inc.'s Objections to the Declaration of Bob Rogers Submitted by ICU in Opposition to Alaris's Motion for Partial Summary Judgment, dated February 6, 2006	
	31	Alaris's Reply on Motion to Bifurcate the Issue of Willfulness from Liability Issues, dated February 6, 2006	
	32	Rebuttal Declaration of Neil Sheehan in Support of Alaris Medical Systems Reply Motion for Partial Summary Judgment of Noninfringement, dated February 6, 2006	
	33	Excerpts from Deposition Transcript of George A. Lopez, M.D., Volume 1, dated February 7, 2006	
	34	Excerpts from Deposition Transcript of George A. Lopez, M.D., Volume 2, dated February 7, 2006	

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LT	35	Excerpts from Deposition Transcript of Thomas F. Fangrow, dated February 22, 2006	
	36	Joint Stipulation Filed in Support of and In Opposition to Defendant Alaris Medical Systems, Inc.'s Motion to Compel ICU's Response to Alaris's Requests for Production Nos. 9, 10, 11, 23, 27, 38, 39, dated March 7, 2006	
	37	Declaration of Marc David Peters in Opposition to Defendant Alaris Medical Systems, Inc.'s Motion To Compel ICU's Response to Alaris's Request for Production Nos. 9, 10, 11, 23, 27, 38, 39, dated March 7, 2006	
	38	Declaration of David D. Headrick in Support of and in Opposition To Defendant Alaris Medical Systems, Inc.'s Motion to Compel ICU's Response to Alaris's Requests for Production Nos. 9, 10, 11, 23, 27, 38, 39, dated March 7, 2006	
	39	Exhibit 6 to the Declaration of David D. Headrick in Support of and In Opposition to Defendant Alaris Medical Systems, Inc.'s Motion to Compel ICU's Response to Alaris's Request For Production Nos. 9, 10, 11, 23, 27, 38, 39, dated March 7, 2006	
	40	ICU Medical's Third Set of Supplemental Responses to Alaris' First Set of Interrogatories Nos. 1-10, dated March 10, 2006	
	41	Alaris's Second Supplemental Preliminary Invalidity Contentions Relating to U.S. Patent Nos. 5,685,866; 5,873,862; 6,572,592 and 6,682,509 (Pursuant to Discovery Agreement), dated March 17, 2006	
	42	Reporter's Transcript of Proceedings Motions Calendar, dated April 10, 2006	
	43	Alaris Medical Systems, Inc.'s First Supplemental Disclosure Pursuant to Modified N.D. Patent L.R. 4-2(b) & 4-3(b), dated May 2, 2006	
	44	ICU'S Opening Brief on Claim Construction, dated May 9, 2006	
	45	Declaration of Kimberly N. Van Voorhis in Support of ICU'S Opening Brief on Claim Construction, dated May 9, 2006	
	46	Exhibits 6, 7, 8, 9, 18 and 22 to the Declaration of Kimberly N. Van Voorhis in Support of ICU's Opening Brief on Claim Construction, dated May 9, 2006	
	47	Declaration of Bob Rogers in Support of ICU's Opening Brief on Claim Construction, dated May 9, 2006	
	48	Declaration of S. Christian Platt in Support of ICU's Opening Brief on Claim Construction, dated May 9, 2006	
	49	Plaintiff ICU Medical, Inc.'s Notice of Lodging Compact Discs in Support of ICU's Opening Brief on Claim Construction, dated May 9, 2006	
	50	Notice of Lodgment of Courtesy Copies for Chambers of Physical Samples, dated May 9, 2006	
✓	51	Plaintiff ICU Medical, Inc.'s Notice of Lodging Compact Discs in Support of ICU's Opening Brief on Claim Construction, dated May 9, 2006	

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LT	52	Alaris's Claim Construction Brief, dated June 2, 2006	
	53	Alaris Medical Systems, Inc.'s Objections to the Declaration of Bob Rogers Submitted by ICU in Support of ICU's Opening Brief on Claim Construction, dated June 2, 2006	
	54	Defendant Alaris Medical Systems, Inc.'s Application to File Under Seal Exhibits 5, 7, 11, 12, 15, 16, 17, 30 and 41 to the Corrected Declaration of David D. Headrick in Support of Alari's Claim Construction Brief, dated June 13, 2006	
	55	Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief (Volume I, Exh. 1-20), dated June 2, 2006	
	56	Corrected Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief (Volume I, Exhibits 1-20), dated June 13, 2006	
	57	Volume II Exhibits 21 to 57 to the Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief, dated June 2, 2006	
	58	Volume II, Exhibits 21-56 to the Corrected Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief June 13, 2006	
	59	Exhibits 5, 7, 11-12, 15-17, 30 and 41 to the Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief Filed Under Seal, dated June 2, 2006	
	60	Exhibits 5, 7, 11-12, 15-17, 30 and 41 to the Corrected Declaration of David D. Headrick in Support of Alaris's Claim Construction Brief, dated June 13, 2006	
	61	ICU's Reply Brief on Claim Construction, dated June 14, 2006	
	62	Rebuttal Declaration of Bob Rogers in Support of ICU's Reply Brief on Claim Construction, dated June 14, 2006	
	63	Supplemental Declaration of Kimberly N. Van Voorhis in Support of ICU's Reply Brief on Claim Construction, dated June 14, 2006	
	64	Exhibits 1,2,3 and 4 to the Supplemental Declaration of Kimberly Van Voorhis in Support of ICU's Reply Brief on Claim Construction Declaration, dated June 14, 2006	
	65	ICU Medical, Inc.'s Objections to the Declaration of Neil J. Sheehan in Support of Alaris Medical Systems, Inc.'s Claim Construction Brief, dated June 14, 2006	
	66	ICU Medical, Inc.'s Response to Alaris's Objections to the declaration of Bob Rogers in Support of ICU's Opening Claim Construction Brief, dated June 14, 2006	
	67	Declaration of Diana Luo in Support of ICU Medical, Inc.'s Objections to the Declaration of Neil J. Sheehan in Support of Alaris Medical Systems, Inc.'s Claim Construction Brief, dated June 14, 2006	
	68	[Proposed] Order Granting ICU Medical, Inc.'s Claim Construction from ICU's Opening Claim Construction Brief, dated June 14, 2006	
	69	Civil Minutes-General- Markman Hearing, dated June 21, 2006	
↓	70	Reporter's Transcript of Proceedings- Markman Hearing Day 1, June 21, 2006	

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LT	71	Civil Minutes-General- Markman Hearing (2nd Day), dated June 22, 2006	
	72	Reporter's Transcript of Proceedings- Markman Hearing Day 2, June 22, 2006	
	73	Order Granting Alaris Medical Systems, Inc.'s Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, dated July 17, 2006	
	74	Claim Construction Order, dated July 17, 2006	
	75	[Proposed, Amended] Findings of Fact not Genuinely Contested and Conclusions of Law in Support of the Court's July 17, 2006 Order Granting Alaris's Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, dated July 28, 2006	
	76	[Proposed, Amended] Judgment Granting Defendant Alaris Medical Systems, Inc.'s Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, dated July 28, 2006	
	77	Defendant Alaris Medical Systems, Inc.'s Notice of Lodging of (1) [Proposed, Amended] Findings of Uncontroverted Facts and Conclusions of Law in Support of Alaris's Motion for Partial Noninfringement of "Spike" Claims (2) [Proposed, Amended] Judgment Granting Defendant Alaris Medical Systems, Inc.'s Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, dated June 23, 2006	
	78	Expert Report of Neil Sheehan, dated August 11, 2006	
	79	Expert Report of Eugene Rzucidlo, dated August 11, 2006	
	80	True Copy From the Records of the United States Patent and Trademark Office of the File Wrapper of Application Number: PCT/US92/10367, Filing Date: December 1, 1992, Certification dated June 7, 2005	
	81	Examiner's Report No. 2 on Patent Application No. 2004201518 by ICU Medical, Inc., dated October 6, 2005	
	82	Abstract of Decisions, Decision of a Delegate of the Commissioner of Patents, dated February 21, 2006	
	83	Third Statement of Proposed Amendments regarding ICU Medical Inc., Australian Patent Application No. 2004201518 "Medical valve", dated March 16, 2006	
	84	Notification of a Requisition by the Examiner in Accordance with Subsection 30(2) of the Patent Rules for Canadian Application No. 2,193,702, dated April 4, 2006	

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LT	1	04-0034325	02-19-2004	George A. Lopez	
LT	2	6,132,404	10-17-2000	George A. Lopez	
LT	3	6,325,782	12-04-2001	George A. Lopez	
LT	4	6,635,044	10-21-2003	George A. Lopez	

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LT	5	G 84 25 197.2	10-31-1985	Fagasi		✓
LT	6	855 319	11-13-1952	Steiner et al.		✓
LT	7	DE 3303718 C1	10-04-1984	Herlitze et al.		✓
LT	8	FR 1,373,027	08-17-1964	Razimbaud		✓

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LT	9	Description of Examiner's Rejection (Japan) – September 14, 2004	✓
	10	Written Opinion and Amendment (Japan) – March 17, 2005	✓
	11	Final Rejection (Japan) – May 13, 2005	✓
	12	Nominal Appeal and Amendment (Japan) – August 22, 2005	✓
	13	Notice of Reasons for Rejection (Japan) – June 11, 2002	✓
	14	Written Opinion and Amendment (Japan) – December 10, 2002	✓
	15	Notice of Reasons for Rejection (Japan) – December 24, 2003	✓
	16	Written Opinion (Japan) – March 24, 2004	✓
	17	Substantive Examination Official Letter No. 19940 (Mexico) – August 21, 1995	✓

Examiner Signature /Loan Thanh/

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LT	18	Answer to Letter of Requisites No. 19940 dated August 21, 1995 (Mexico)	√
	19	Substantive Examination Official Letter No. 8961 (Mexico) – March 26, 1998	√
	20	Answer to Letter of Requisites No. 8961 dated March 26, 1998 (Mexico)	√
	21	Substantive Examination Official Letter No. 29974 (Mexico) – October 12, 1998	√
	22	Answer to Letter of Requisites No. 29974 dated October 12, 1998 (Mexico)	√
	23	Substantive Examination Official Letter No. 10943 (Mexico) – May 18, 1999	√
	24	Answer to letter of Requisites No. 10943 dated May 18, 1999 (Mexico)	√
	25	Preliminary Statement (Bulgaria) – January 9, 1996	√
	26	Reply to Preliminary Statement and Redrafted Specification (Bulgaria) – July 17, 1996	√
	27	Examiner's Grounds for Rejection (Korea)	√
	28	Details of Opinion in Response to Preliminary Rejection dated July 16, 2003 (Korea)	√
	29	Examiner's Grounds for Rejection (Korea)	√
	30	Details of Opinion in Response to Preliminary Rejection dated July 24, 2002 (Korea)	√
	31	Notice of Grounds for Refusal (Korea) – July 27, 1999	√
	32	Argument and Amendment (Korea) – December 27, 1999	√
	33	Notice of Grounds for Refusal (Korea) – January 26, 2000	√
	34	Argument and Amendment (Korea) – April 26, 2000	√
	35	Examination (New Zealand) – July 11, 1997	
	36	Examination (New Zealand) – October 13, 1997	

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LT	37	Annotated Figures and Replacement Claims Submitted to IPONZ (New Zealand)	
	38	Examination (New Zealand) – April 16, 1999	
	39	Response to Examiner and Amended Claims (New Zealand) – July 9, 1999	
	40	Examination Report (New Zealand) – July 19, 1999	
	41	Response to Examiner's Report and Amended Claims (New Zealand) – August 5, 1999	
	42	Examination Report (New Zealand) – September 7, 1999	
	43	Response to Examiner and Amended Claims (New Zealand) – December 6, 1999	
	44	Response to Examiner and Proposed Amendments (New Zealand) – January 28, 2000	
	45	Examination Report (New Zealand) – February 9, 2000	
	46	Response to Examiner and Amended Claims (New Zealand) – February 10, 2000	
	47	Response to Examiner (New Zealand) – February 15, 2000	
	48	Office Action (Finland) – June 12, 2001	✓
	49	Response to Intermediate Decision (Finland) – September 12, 2001	✓
	50	Office Action (Finland) – September 21, 2001	✓
	51	Response to Intermediate Decision (Finland) – March 19, 2002	✓
	52	Official Action (Russia) – June 16, 1999	✓
	53	Response to Evaluation Request for Patent Application No. 971010853/14 (Russia)	✓
	54	Official Action (Norway) – November 20, 1997	✓
✓	55	Response and New Claims (Norway) – August 21, 1998	✓

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LT	56	Official Action (Norway) September 6, 1999	√
	57	Response to Patent Office Letter dated September 6, 1999 (Norway)	√
	58	Official Action (Norway) – July 17, 2000	√
	59	Response to Committee Statement (Norway) – October 17, 2000	√
	60	Official Action (Norway) – February 5, 2001	√
	61	Response to Patent Office Letter (Norway) – May 3, 2001	√
	62	Examination (Romania) – October 8, 1996	√
	63	Response and Amended Claims (Romania) – September 27, 1996	√
	64	First Office Action (Republic of China) – April 8, 2005	√
	65	Statement of Opinions (Republic of China) – October 17, 2005	√
	66	First Office Action (Republic of China) – March 29, 2002	√
	67	Statement of Opinions (Republic of China) – October 12, 2002	√
	68	Second Office Action (Republic of China) – November 29, 2002	√
	69	Statement of Opinions (Republic of China) – February 14, 2003	√
	70	Letter from Commissioner of Patents (New Zealand) – April 6, 1999	
	71	Response to Examiner and Amended Claims (New Zealand) – September 29, 2000	
	72	Notice of Voided Application (New Zealand) – November 29, 2000	
	73	Response to IPONZ (New Zealand) – December 4, 2000	
√	74	Examination Report (New Zealand) – December 11, 2000	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 5 OF 9	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	75	Response to IPONZ and Amended Claim (New Zealand) – December 14, 2000	
	76	Examination Report (New Zealand) – December 21, 2000	
	77	Response to IPONZ and Amended Claims (New Zealand) – December 22, 2000	
	78	Examination Report (New Zealand) – January 16, 2001	
	79	Notice of Examination (EPO) – June 21, 1996	
	80	Response to Communication (EPO) – January 2, 1997	
	81	Notice of Examination (EPO) – September 8, 1997	
	82	Response to Communication (EPO) – March 17, 1998	
	83	Notice of Examination (EPO) – June 25, 1998	
	84	Response to Communication (EPO) – November 11, 1998	
	85	Examiner's Report (New Zealand) – January 16, 1996	
	86	Response and Substitute Claims (New Zealand) – June 17, 1997	
	87	Response and Amended Claims (New Zealand) – June 30, 1997	
	88	Requisition by Examiner (Canada) – January 30, 2003	
	89	Response to Official Action (Canada) – July 22, 2003	
	90	Requisition by Examiner (Canada) – September 22, 2003	
	91	Response to Official Action (Canada) – March 19, 2004	
	92	Requisition by Examiner (Canada) – February 8, 2005	
✓	93	Response to Official Action (Canada) – August 8, 2005	

Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
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SHEET 6 OF 9	Attorney Docket No.	ICUMM.011C8C5

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LT	94	Examiner's First Report (Australia) – August 7, 2003	
	95	Notice of Entitlement and Statement of Proposed Amendments (Australia) – September 24, 2003	
	96	Rejection by the Patent Examining Authority (Czech Republic) – reply due August 12, 1996	√
	97	Examiner's First Report (Australia) – November 28, 1994	
	98	Notice of Assertion of Invalidity (Australia) – November 29, 1995	
	99	Examiner's First Report (Australia) – September 17, 1997	
	100	Statement of Proposed Amendments and Notice of Entitlement (Australia) – May 20, 1998	
	101	Examiner's Report No. 2 (Australia) – June 16, 1998	
	102	Statement of Proposed Amendments (Australia) – June 15, 1999	
	103	Examiner's Report No. 3 (Australia) – June 17, 1999	
	104	Requisition by Examiner (Canada) – October 18, 2004	
	105	Response to Official Action (Canada) – April 18, 2005	
	106	Examiner's First Report (Australia) – February 24, 2005	
	107	Statement of Proposed Amendments (Australia) – August 31, 2005	
	108	Examination (EPO) – April 17, 2001	
	109	Response to Communication (EPO) – November 12, 2001	
	110	Examiner's First Report (Australia) – August 7, 1997	
	111	Statement of Proposed Amendments and Notice of Entitlement (Australia) – December 7, 1998	
↓	112	Examiner's Report No. 2 (Australia) – January 6, 1999	

Examiner Signature     /Loan Thanh/	Date Considered     10/02/2006
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	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 7 OF 9	Attorney Docket No.	ICUMM.011C8C5

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LT	113	Statement of Proposed Amendments (Australia) – May 7, 1999	
	114	Examiner's First Report (Australia) – July 3, 2000	
	115	Examination Report (New Zealand) – October 5, 2000	
	116	Response to Examination Report (New Zealand) – February 13, 2001	
	117	Examination Report (New Zealand) – June 5, 2001	
	118	Response to Examination Report (New Zealand) – May 21, 2002	
	119	Examination (EPO) – June 18, 1996	
	120	Response to Communication (EPO) – December 30, 1996	
	121	Examination (EPO) – April 3, 1997	
	122	Response to Communication (EPO) – September 17, 1997	
	123	Examination (EPO) – January 29, 1998	
	124	Response to Communication (EPO) – April 30, 1998	
	125	Decision to Refuse (EPO) – April 29, 1999	
	126	Communication regarding Examination (EPO) – June 6, 1997	
	127	Response to Communication (EPO) – December 10, 1997	
	128	Communication Regarding Examination (EPO) – March 19, 1998	
	129	Response to Communication (EPO) – October 13, 1998	
	130	Communication Regarding Examination (EPO) – March 23, 1999	
	131	Response to Communication (EPO) – October 22, 1999	

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LT	132	Communication Regarding Examination (EPO) – June 13, 2000	
	133	Response to Communication (EPO) – January 2, 2001	
	134	Communication Under Rule 51(4) EPC (EPO) – May 25, 2001	
	135	Response to Communication (EPO) – December 4, 2001	
	136	Notification of Examination (EPO) – December 19, 2001	
	137	Response to Communication (EPO) – February 7, 2002	
	138	International Preliminary Examination Report (PCT) – October 15, 1996	
	139	Written Opinion (PCT) – March 29, 1996	
	140	International Search Report (PCT) – November 13, 1995	
	141	International Preliminary Examination Report (PCT) – October 18, 1995	
	142	Written Opinion (PCT) – April 28, 1995	
	143	International Search Report (PCT) – January 30, 1995	
	144	International Search Report (PCT) – March 22, 1993	
	145	International Search Report Annex Sheet (PCT) – March 22, 1993	
	146	Written Opinion (PCT) – November 5, 1993	
	147	Response to Written Opinion (PCT) – February 23, 1994	
	148	International Preliminary Examination Report (PCT) – April 5, 1994	
	149	International Search Report (PCT) – November 7, 1995	
✓	150	Written Opinion (PCT) – February 23, 1996	

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	First Named Inventor	George A. Lopez
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 9 OF 9	Attorney Docket No.	ICUMM.01 IC8C5

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LT	151	International Preliminary Examination Report (PCT) – June 21, 1996	
	152	European Search Report (EPO) – January 15, 2002	
	153	Communication Regarding Examination (EPO) – May 9, 2003	
	154	Response to Communication (EPO) – November 17, 2003	
	155	Communication Regarding Examination (EPO) – February 5, 2004	
	156	Response to Communication (EPO) – August 12, 2004	
	157	Communication Regarding Examination (EPO) – January 3, 2005	
	158	Notification (Japan) – February 7, 1996	✓
	159	Regulations Under the Patent Law Section 13 <sup>bis</sup> (Japan)	✓
	160	Japanese Patent Law, Sections 29 and 29 <sup>bis</sup> (Japan)	✓
	161	Notice of Reasons for Rejection (Japan) – December 17, 2001	✓
	162	Written Opinion and Amendment (Japan) – June 25, 2002	✓
	163	Decision to Decline Amendment (Japan) – May 27, 2003	✓
	164	Final Rejection (Japan) – September 16, 2003	✓
	165	Request for Trial (Japan) – December 15, 2003	✓
	166	Appeal Brief (Japan) – January 14, 2004	✓
	167	Amendment (Japan) – January 14, 2004	✓
✓	168	Trial Decision in Trial No. 2003-24251 (Japan)	✓

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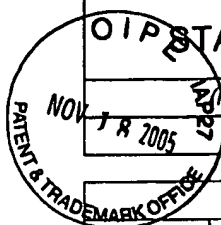
## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

Application No.	10/630,131
Filing Date	July 30, 2003
First Named Inventor	George A. Lopez, M.D.
Art Unit	3763
Examiner	Loan H. Thanh
Attorney Docket No.	ICUMM.011C8C5

Multiple sheets used when necessary)

SHEET 1 OF 10



## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
LT	1	2,577,780	12/11/51	Lockhart	
	2	4,059,109	11/22/77	Tischlinger	
	3	4,243,150	01/06/81	Gunne et al.	
	4	4,473,369	09/25/84	Lueders et al.	
	5	4,589,879	05/20/86	Pearson	
	6	4,601,703	07/22/86	Herlitze	
	7	4,637,934	01/20/87	White	
	8	4,683,916	08/04/87	Raines	
	9	4,798,605	01/17/89	Steiner et al.	
	10	4,804,366	02/14/89	Zdeb et al.	
	11	5,024,657	06/18/91	Needham et al.	
	12	5,085,645	02/04/92	Purdy et al.	
	13	5,113,911	05/19/92	Hirsh	
	14	5,195,994	03/23/93	Dieringer	
	15	5,242,393	09/07/93	Brimhall et al.	
	16	5,306,243	04/26/94	Bonaldo	
	17	5,385,547	01/31/95	Wong et al.	
	18	5,389,086	02/14/95	Attermeier et al.	
	19	5,449,145	09/12/95	Wortrich	
	20	5,470,319	11/28/95	Mayer	
	21	5,509,912	04/23/96	Vaillancourt et al.	
	22	5,549,577	08/27/96	Siegel et al.	
	23	5,690,612	11/25/97	Lopez et al.	
	24	5,730,418	03/24/98	Feith et al.	
	25	5,785,692	07/28/98	Attermeier et al.	
	26	5,873,862	02/23/99	Lopez	
	27	5,901,942	05/11/99	Lopez	
	28	5,928,204	07/27/99	Lopez	
	29	6,113,068	09/05/00	Ryan	

Examiner Signature /Loan Thanh/

Date Considered 10/02/2006

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	Filing Date	July 30, 2003	
	First Named Inventor	George A. Lopez, M.D.	
	Art Unit	3763	
(Multiple sheets used when necessary)		Examiner	Loan H. Thanh
SHEET 2 OF 10		Attorney Docket No.	ICUMM.01 IC8C5

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
LT	30	6,132,403	10/17/00	Lopez	
	31	6,132,404	10/17/00	Lopez	
	32	6,325,782	12/04/01	Lopez	
	33	6,572,592	06/03/03	Lopez	
	34	6,599,273	07/29/03	Lopez	
	35	6,635,044	10/21/03	Lopez	
	36	6,682,509	01/27/04	Lopez	
	37	6,669,673	12/30/03	Lopez	
	38	6,758,833	07/06/04	Lopez	
	39	2004/0034325	02/19/04	Lopez	

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
LT	40	WO 90/12606	11/01/90	Baxter International, Inc.		
LT	41	WO 91/05581	05/02/91	Baxter International, Inc.		
LT	42	EP 0472088	02/26/92	Wex Roland		
LT	43	WO 96/17646	06/13/96	Haining		

NON PATENT LITERATURE DOCUMENTS			
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LT	44	Declaration of George A. Lopez, M.D. dated January 16, 2004 (Australia)	
LT	45	Declaration of Stuart Esnouf dated February 19, 2004 (Australia)	
LT	46	Declaration of John Lawrence dated May 5, 2004 (Australia)	
LT	47	Declaration of John Lawrence dated May 22, 2003 (Australia)	
LT	48	Declaration of Mary McCaskill dated June 20, 2003 (Australia)	

Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
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SHEET 3 OF 10	Attorney Docket No.	ICUMM.011C8C5

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LT	49	Declaration of Rachel Elizabeth Jane Hooke dated June 19, 2003 (Australia)	
LT	50	Declaration of Joy Blacka dated June 20, 2003 (Australia)	
LT	51	Translation of Exhibit MM.4 to Declaration of Mary McCaskill dated June 20, 2003 (Australia)	
LT	52	Translation of European Patent Application No. 0 309 771 by Lotte H. Johnston dated June 5, 1995	
LT	53	Directions for Baxter "Needle*Less™ Cannula Threaded Lock" with Luer Lock Hub For use with Baxter's Needle*Less™ Injection Sites, Baxter Healthcare Corporation, Deerfield, IL 60016 USA	
LT		<b>ICU MEDICAL, INC. V. B. BRAUN MEDICAL, INC.</b>	
LT	54	U.S. District Court Civil Docket for ICU MEDICAL, INC. v. B. Braun Medical, Inc., Case No. CV 01-3202	
LT	55	Minute Entry Regarding Motion for Leave to Amend held August 22, 2002	
LT	56	Minute Entry Regarding Motion Hearing held September 9, 2002	
LT	57	Braun's Motion and Memorandum for Invalidity of the '673 Patent Claims Based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	58	Declaration of Justin Wilcox in Support of Braun's Motion and Memorandum for Invalidity of the '673 Patent Claims based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	59	Declaration of Neil Sheehan in Support of Braun's Motion and Memorandum for Invalidity of the '673 Patent Claims based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	60	Braun's Motion and Memorandum Regarding Unresolved Issues of Claim Construction for the '204 Patent and for Summary judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	61	Declaration of Gregory F. Corbett in Support of Braun's Motion and Memorandum Regarding Unresolved Issues of Claim Construction for the '204 Patent and for Summary judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	62	Braun's [Proposed] Order Further Construing '204 Patent Claim Terms and Granting Summary Judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	63	Braun's [Proposed] Order for Summary Judgment of Invalidity of the '673 Patent Claims Based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	64	Braun's Motion and Memorandum for Invalidity of the '204 Patent Claims Based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
LT	65	Declaration of Justin Wilcox in Support of Braun's Motion and Memorandum for Invalidity of the '204 Patent Claims based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	

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SHEET 4 OF 10	Attorney Docket No.	ICUMM.011C8C5

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LT	66	Braun's [Proposed] Order for Summary Judgment of Invalidity of the '204 Patent Claims Based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
	67	Braun's Notice of Manual Filing for Braun's April 1, 2005 Motions, Filed in Case No. CV 01-3202 CRB (MEJ)	
	68	Plaintiff ICU Medical, Inc.'s Supplemental Trial Brief on Inequitable Conduct, Filed in Case No. CV 01-3202 CRB (MEJ)	
	69	Notice of Errata to File Plaintiff ICU Medical, Inc.'s Corrected Supplemental Trial Brief on Inequitable Conduct, Filed in Case No. CV 01-3202 CRB (MEJ)	
	70	Braun's Response to Plaintiff ICU Medical, Inc.'s Supplemental Trial Brief, Filed in Case No. CV 01-3202 CRB (MEJ)	
	71	Braun's Motion and Memorandum to Limit trial Testimony of Steven J. Nataupsky, Filed in Case No. CV 01-3202 CRB (MEJ)	
	72	Declaration of Justin Wilcox in Support of Braun's Motion and Memorandum to Limit Trial Testimony of Steven J. Nataupsky, Filed in Case No. CV 01-3202 CRB (MEJ)	
	73	[Proposed] Order to Limit trial Testimony of Steven J. Nataupsky, Filed in Case No. CV 01-3202 CRB (MEJ)	
	74	Notice of Manual Filing of Braun's Motion and Memorandum of Limit Trial Testimony of Steven J. Nataupsky, Filed in Case No. CV 01-3202 CRB (MEJ)	
	75	Braun's Motion and Memorandum in Support of Introducing by Videotape Designated Portions of the Depositions of Thomas Fangrow and Randy Prozeller, Filed in Case No. CV 01-3202 CRB (MEJ)	
	76	Declaration of Justin Wilcox in Support of Braun's Motion and Memorandum to Allow Deposition Designations of Thomas Fangrow and Randy Prozeller, Filed in Case No. CV 01-3202 CRB (MEJ)	
	77	Braun's Proposed Order to Introduce by Videotape Designated Portions of Depositions of Thomas Fangrow and Randy Prozeller, Filed in Case No. CV 01-3202 CRB (MEJ)	
	78	ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Invalidity of the '673 Patent Claims based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
	79	Declaration of Susan V. Vaughn in Support of ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Invalidity of the '673 Patent Claims based on 35 U.S.C. § 112, ¶ 1, Filed in Case No. CV 01-3202 CRB (MEJ)	
	80	Proposed Order Denying Braun's Motion for Summary Judgment of Invalidity of the '673 Patent Claims based on 35 U.S.C. § 112, Filed in Case No. CV 01-3202 CRB (MEJ)	
	81	ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Invalidity of the '204 Patent Claims based on 35 U.S.C. § 112, ¶ 1 Filed in Case No. CV 01-3202 CRB (MEJ)	
	82	Declaration of Adrienne L. Taclas in Support of ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Invalidity of the '204 Patent Claims based on 35 U.S.C. § 112, ¶ 1 Filed in Case No. CV 01-3202 CRB (MEJ)	
↓	83	Proposed Order Denying Braun's Motion for Summary Judgment of Invalidity of the '204 Patent Claims based on 35 U.S.C. § 112, Filed in Case No. CV 01-3202 CRB (MEJ)	

Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
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	Examiner	Loan H. Thanh
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LT	84	ICU Medical, Inc.'s Opposition to Braun's Motion Regarding Unresolved Issues of Claim Construction for the '204 Patent and for Summary Judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
	85	Declaration of Mary T. Huser in Support of ICU Medical, Inc.'s Opposition to Braun's Motion Regarding Unresolved Issues of Claim Construction for the '204 Patent and for Summary Judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
	86	[Proposed] Order Denying Braun's Motion Regarding Unresolved Issues of Claim Construction for the '204 Patent and for Summary Judgment of Non-Infringement of the '204 Patent, Filed in Case No. CV 01-3202 CRB (MEJ)	
	87	Declaration of Maureen Reitman in Support of ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment, Filed in Case No. CV 01-3202 CRB (MEJ)	
	88	Declaration of Devinder Grewal in Support of ICU Medical, Inc.'s Oppositions to Braun's Motion for Summary Judgment, Filed in Case No. CV 01-3202 CRB (MEJ)	
	89	ICU Medical, Inc.'s Opposition to Braun's Motion in Limine re Nataupsky's Testimony, Filed in Case No. CV 01-3202 CRB (MEJ)	
	90	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion Seeking to Introduce Deposition Testimony from Randy Prozeller and Thomas Fangrow, Filed in Case No. CV 01-3202 CRB (MEJ)	
	91	Declaration of Susan V. Vaughan in Support of ICU Medical, Inc.'s Opposition to Braun's Motion Seeking to Introduce Deposition Testimony from Randy Prozeller and Thomas Fangrow, Filed in Case No. CV 01-3202 CRB (MEJ)	
	92	[Proposed] Order Denying Braun's Motion Seeking to Introduce Deposition Testimony from Randy Prozeller and Thomas Fangrow, Filed in Case No. CV 01-3202 CRB (MEJ)	
	93	B. Braun Medical Inc.'s Responses to Plaintiff's First Set Interrogatories, Filed in Case No. CV 01-3202 CRB	
	94	B. Braun Medical Inc.'s First Supplemental Responses to Plaintiff's First Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	95	B. Braun Medical Inc.'s Responses to Plaintiff's Third Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	96	B. Braun medical Inc.'s Further Supplemental Responses to Plaintiff's First and Second Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	97	B. Braun Medical Inc.'s Further Supplemental Responses to Plaintiff's First Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	98	B. Braun medical Inc.'s First Supplemental Responses to Plaintiff's Third Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	99	B. Braun Medical Inc.'s Responses to Plaintiff's Fourth Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
↓	100	Second Supplemental Responses of Plaintiff ICU Medical, Inc. to Defendant B. Braun Medical, Inc.'s First Set of Interrogatories (Nos. 11-12), Filed in Case No. CV 01-3202 CRB	

Examiner Signature /Loan Thanh/	Date Considered 10/02/2006
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez, M.D.
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 6 OF 10	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	101	Plaintiff ICU Medical, Inc.'s Objections and Responses to Defendant's Second Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	102	Plaintiff ICU Medical, Inc.'s Supplemental Responses to Defendant B. Braun Medical, Inc.'s Interrogatories 20, 26, 27, 28, 29, 30 and 33, Filed in Case No. CV 01-3202 CRB	
	103	Plaintiff ICU Medical, Inc.'s Objections and Responses to Defendant B. Braun Medical Inc.'s Fourth set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	104	Plaintiff ICU Medical, Inc.'s Response to Defendant B. Braun Medical, Inc.'s Sixth Set of Interrogatories, Filed in Case No. CV 01-3202 CRB	
	105	Plaintiff ICU Medical, Inc.'s Response to Defendant B. Braun Medical, Inc.'s First Set of Request for Admissions, Filed in Case No. CV 01-3202 CRB	
	106	Excerpts of Transcript of Deposition of Neil Sheehan taken on August 13, 2002 in Case No. CV 01-3202 CRB	
	107	Excerpts of Transcript of Deposition of Neil Sheehan taken on August 13, 2002, Volume 2, taken August 13, 2002 in Case No. CV 01-3202 CRB	
	108	Excerpts of Transcript of Deposition of Neil Sheehan with Exhibits attached taken on March 23, 2005, volume III, taken March 23, 2005 in Case No. CV 01-3202 CRB	
	109	Excerpts of Transcript of Deposition of James T. Carmichael taken on March 16, 2005 in Case No. CV 01-3202 CRB	
	110	Excerpts of Transcript of Deposition of Thomas F. Fangrow, Jr., taken on July 17, 2002 in Case No. CV 01-3202 CRB	
	111	Excerpts of Transcript of Deposition of ICU Medical, Inc., through its 30(b)6 witness, George Lopez, Volume I, taken December 9, 2004, with Exhibits, in Case No. CV 01-3202 CRB	
	112	Excerpts of Transcript of Deposition of Steven Nataupsky, taken December 10, 2004, with Exhibits, in Case No. CV 01-3202 CRB	
	113	Excerpts of Videotaped Deposition of Michael Sofocleous taken March 18, 2005, with Exhibits, in Case No. CV 01-3202 CRB	
	114	Excerpts of Transcript of Expert Deposition of Dana Randy Prozeller, taken July 19, 2002, in Case No. CV 01-3202 CRB	
	115	Declaration of Steven J. Nataupsky in Support of ICU Medical Inc.'s Opening Brief on Claim Construction, Filed in Case No. CV 01-3202 CRB	
	116	Declaration of Michael Sofocleous in Support of ICU Medical, Inc.'s Reply for Summary Judgment on B. Braun Medical, Inc.'s Inequitable Conduct Defense, Filed in Case No. CV 01-3202 CRB	
	117	Declaration of James T. Carmichael, Esq. In Support of Braun's Memorandum of Points and Authorities in Opposition to Plaintiff ICU Medical, Inc.'s Motion for Summary Judgment of No Inequitable Conduct, Filed in Case No. CV 01-3202 CRB	
	118	Expert Report of Michael Sofocleous, Filed in Case No. CV 01-3202 CRB	
✓	119	Expert Report of Neil Sheehan on the Validity of the '204 and '673 Patents, Filed in Case No. CV 01-3202 CRB	

Examiner Signature /Loan Thanh/	Date Considered 10/02/2006
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Multiple sheets used when necessary)</i>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez, M.D.
	Art Unit	3763
	Examiner	Loan H. Thanh
SHEET 7 OF 10	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
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LT	120	Expert Report of Devinder Grewal in Rebuttal of Neil Sheehan's Report on Validity of the '204 and '673 Patents, Filed in Case No. CV 01-3202 CRB	
	121	Expert Report of Neil Sheehan in Reply to the 2/4/05 Report of Devinder Grewal on the Validity of the '204 and '673 Patents, Filed in Case No. CV 01-3202 CRB	
	122	Rule 26(a)(2) Expert Report of James T. Carmichael, Filed in Case No. CV 01-3202 CRB	
	123	Reply Expert Report of James T. Carmichael, Filed in Case No. CV 01-3202 CRB	
	124	Transcript of Trial Proceedings of April 18, 2005, Filed in Case No. CV 01-3202 CRB	
	125	Transcript of Trial Proceedings of April 19, 2005, Filed in Case No. CV 01-3202 CRB	
		<b>ICU MEDICAL, INC. v ALARIS MEDICAL, INC.</b>	
	126	U.S. District Court Civil Docket for ICU MEDICAL, INC. V. ALARIS MEDICAL SYSTEMS, INC., Case No. SA CV 04-0689	
	127	Letter from Scott McBride to S. Christian Platt, Esq. Regarding Alaris's Proposed Second Amended Answer to ICU's Amended Complaint and Declaratory Judgment Counterclaims, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	128	Plaintiff ICU Medical, Inc.'s Initial Disclosure of Asserted Claims and Preliminary Infringement Contentions Under Adopted Patent L.R. 3-1, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	129	Notice of Errata and Supplemental Initial Disclosure of Asserted Claims and Preliminary Infringement Contentions Under Adopted Patent L.R. 3-1, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	130	Alaris's Preliminary Invalidity Contentions Relating to U.S. Patent Nos. 5,685,866; 5,873,862; 6,572,592 and 6,682,509 (Pursuant to Discovery Agreement), Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	131	Plaintiff ICU Medical, Inc.'s Proposed Terms and Claim Elements for Construction Pursuant to Adopted Patent L.R. 4-1, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	132	Alaris's Proposed Terms and Claim Elements for Construction (Pursuant to Discovery Agreement), Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	133	Alaris's Supplemental Proposed Terms and Claim Elements for Construction (Pursuant to Discovery Agreement, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	134	Alaris's Supplemental Preliminary Invalidity Contentions Relating to U.S. Patent Nos. 5,685,866; 5,873,862; 6,572,592 and 6,682,509 (Pursuant to Discovery Agreement), Filed in Case No. SA CV 04-0689 AHS (RNBx)	
	135	ICU Medical, Inc.'s Answer to Alaris Medical Systems, Inc.'s Declaratory Judgment Counterclaims, Filed in Case No. SA CV 04-0689 AHS (RNBx)	
✓	136	Defendant Alaris Medical System, Inc.'s Opposition to ICU Medical's Ex Parte Application to Continue Motion Hearings and Vacate Briefing Schedule, Filed in Case No. SA CV 04-0689 AHS (RNBx)	

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	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez, M.D.
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 8 OF 10	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	137	Plaintiff ICU Medical Inc.'s Supplemental Evidence to ICU's Preliminary Proposed Claim Construction Pursuant to Adopted patent L.R. 402, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	138	ICU's Ex Parte Application for the Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc. with Exhibits, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	139	Declaration of Marc David Peters in Support of ICU's Ex Parte Application for a Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	140	Defendant Alaris Medical Systems, Inc.'s Memorandum of Points and Authorities in Support of Alaris's Motion for Leave to Modify the Scheduling Order and File a Second Amended Answer and Counterclaims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	141	Alaris Medical Systems, Inc.'s [Proposed] Second Amended Answer to Amended Complaint and Declaratory Judgment Counterclaims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	142	Declaration of Scott P. McBride in Support of Defendant Alaris Medical Systems, Inc.'s Memorandum of Points and Authorities in Support of Alaris's Motion for Leave to Modify the Scheduling Order and File a Second Amended Answer and Counterclaims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	143	Defendant Alaris Medical Systems, Inc.'s Notice of Motion and Motion for Sanctions Pursuant to Fed. R. Civ. P. 11, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	144	Defendant Alaris Medical Systems, Inc.'s Memorandum of Points and Authorities in Support of Alaris's Motion for Sanctions Pursuant to Fed. R. Civ. P. 11, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	145	Defendant Alaris Medical Systems, Inc.'s Notice of Motion and Motion for partial Summary Judgment of Noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	146	Declaration of Janice F. McCampbell in Support of Alaris's Motion for Sanctions Pursuant to Fed. R. Civ. P. 11 and Motion for partial Summary judgment of Noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	147	Declaration of Jonathan Wygant in Support of Alaris Medical Systems, Inc.'s Motion for Sanctions Pursuant to Fe. R. Civ. P. 11 and Motion for Partial Summary Judgment of noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	148	Declaration of David D. Headrick in Support of Defendant Alaris Medical Systems, Inc.'s Motion for Sanctions Pursuant to Fed. R. Civ. P. 11 and Motion for partial Summary Judgment of Noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	149	Memorandum of Points and Authorities in Support of Alaris's Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	150	[Proposed] Statement of Uncontroverted Facts and Conclusions of Law in Support of Alaris's Motion for Partial Summary Judgment of Noninfringement of "Spike" Claims, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	151	Defendant Alaris Medical Systems, Inc.'s Opposition to ICU's Ex Parte Application for a Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	152	Declaration of David D. Headrick in Support of Defendant Alaris Medical Systems, Inc.'s Opposition to ICU's Ex Parte Application for a Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	

Examiner Signature /Loan Thanh/	Date Considered 10/02/2006
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez, M.D.
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 9 OF 10	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	153	Declaration of Timothy J. Malloy in Support of Defendant Alaris Medical Systems, Inc.'s Opposition to ICU's Ex Parte Application for a Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	154	Supplemental Declaration of Scott P. McBride in Support of Defendant Alaris Medical Systems, Inc.'s Opposition to ICU's Ex Parte Application for a Protective Order Staying Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	155	Order on ICU's Ex Parte Application for a Protective Order Regarding Alaris's Subpoena of Kipe Molds, Inc., Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	156	Stipulation and [Proposed] Order to (a) Modify the October 4, 2004 Scheduling Order and (2) Bifurcate the Trial and All Discovery Regarding ICU's Willfulness Claim, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	157	ICU Medical's Ex Parte Application to Continue Motion hearings and Vacate Briefing Schedule, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	158	Memorandum of Law in Support of ICU Medical's Ex Parte Application to Continue Motion hearings and Vacate Briefing Schedule and attached Exhibits, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	159	Declaration of Marc David Peters in Support of ICU Medical's Ex Parte Application to Continue Motion Hearings and Vacate Briefing Schedule, with Exhibits, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	160	Defendant Alaris Medical Systems, Inc.'s Opposition to ICU Medical's Ex Parte Application to Continue Motion hearings and Vacate Briefing Schedule, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	161	Supplemental Declaration of Scott P. McBride in Support of Defendant Alaris Medical Systems, Inc.'s Opposition to ICU's Ex Parte Application to Continue Motion Hearings and Vacate Briefing Schedule, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	162	Order Granting ICU Medical's Ex Parte Application to Continue Motion Hearings in Part, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	163	Defendant Alaris Medical Systems, Inc.'s Opposition to Plaintiff's Motion to Strike and Dismiss Affirmative Defenses and Counterclaims of Alaris's First Amended Answer & Counterclaims to ICU's First Amended Complaint, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	164	Defendant Alaris Medical Systems, Inc.'s Notice of Errata to its Opposition to Plaintiff's Motion to strike and Dismiss Affirmative Defenses and Counterclaims of Alaris's First Amended Answer & Counterclaims to ICU's First Amended Complaint, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	165	Plaintiff ICU Medical Inc.'s Reply to Defendant Alaris Medical Systems, Inc.'s Opposition to Plaintiff's Motion to Strike and Dismiss Affirmative Defenses and Counterclaims of Alaris's First Amended Answer & Counterclaims to ICU's First Amended Complaint, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	166	Plaintiff ICU Medical Inc.'s Preliminary Proposed Claim Construction Pursuant to Adopted Patent L.R. 4-2, Filed in Case No. SA CV 0-0689 AHS (RNBx)	
	167	Alaris's Preliminary Claim Constructions and Preliminary Supporting Extrinsic Evidence (Pursuant to Discovery Agreement), Filed in Case No. SA CV 0-0689 AHS (RNBx)	
✓	168	Alaris's Preliminary Claim Constructions and Supplemental Preliminary Supporting Extrinsic Evidence (Pursuant to Discovery Agreement), Filed in Case No. SA CV 0-0689 AHS (RNBx)	

Examiner Signature /Loan Thanh/	Date Considered 10/02/2006
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	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez, M.D.
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 10 OF 10	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
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LT	169	Alaris's Portion of the Joint Claim Construction Statement (Pursuant to Discovery Agreement), Filed in Case No. SA CV 0-0689 AHS (RNBx)	
LT	170	ICU's Proposed Claim Construction and Support for Joint Terms, Phrases, or Clauses (Exhibit A), Filed in Case No. SA CV 0-0689 AHS (RNBx)	
LT	171	Parties' Proposed Preliminary Claim Construction (Adopted Patent L.R. 4-2, as exchanged June 3, 2005), Filed in Case No. SA CV 0-0689 AHS (RNBx)	

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Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Multiple sheets used when necessary)

SHEET 1 OF 3

Application No.	10/630,131
Filing Date	July 30, 2003
First Named Inventor	George A. Lopez
Art Unit	3763
Examiner	Loan H. Thanh
Attorney Docket No.	ICUMM.011C8C5

## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
LT ↓	1	3,352,395	11/14/1967	Hilpert	
	2	3,502,097	04/24/1970	Muller	
	3	3,630,199	12/28/1971	Gangarosa et al.	
	4	3,648,648	03/14/1972	Johnson et al.	
	5	4,079,737	03/21/1978	Miller	
	6	4,306,205	12/15/1981	Ito et al.	
	7	4,891,469	01/02/1990	Fick	
	8	4,934,655	06/19/1990	Blenkush et al.	
	9	5,134,703	07/28/1992	Bumbarger	
	10	5,171,634	12/15/1992	Soszka et al.	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
LT ↓	11	855 319	11/13/1952	Klasse Gruppe		
	12	8425197	10/31/1985	Pagasi et al.		
	13	EP 0 446 469 A1	12/19/1990	Engelhard et al.		
	14	HU 206 052	01/18/1990	Hungary		
	15	HU 210 583 B	01/22/1990	Hungary		
	16	HU 215 009 B	06/25/1993	Baxter International, Inc.		

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT ↓	17	ICU Medical, Inc. v. B. Braun Medical Inc., Order Re: Motion for Summary Judgment and Scheduling Trial	
	18	Plaintiff ICU Medical, Inc.'s Proposed Findings of Fact and Conclusions of Law Relating to Defendant B. Braun Medical, Inc.'s Inequitable Conduct Defense	
	19	Joint Proposed Final Pretrial Order	
	20	Plaintiff ICU Medical, Inc.'s Trial Brief on Inequitable Conduct	

Examiner Signature /Loan Thanh/	Date Considered 10/02/2006
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	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez
	Art Unit	3763
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SHEET 2 OF 3	Attorney Docket No.	ICUMM.011C8C5

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LT	21	B. Braun Medical Inc.'s Inequitable Conduct Trial Brief	
	22	Braun's Proposed Findings of Fact and Conclusions of Law	
	23	<u>ICU Medical, Inc. v. B. Braun Medical, Inc.</u> – Civil Minutes	
	24	U.S. Application No. 08/265,181, filed 6/24/1994, now U.S. Patent No. 5,694,686, issued 12/09/1997	
	25	U.S. Application No. 08/265,095, filed 6/24/1994, now abandoned	
	26	U.S. Application No. 08/883,389, filed 6/26/1997, now abandoned	
	27	U.S. Application No. 08/477,382, filed 6/7/1995, now U.S. Patent No. 5,690,612, issued 11/25/1995	
	28	U.S. Application No. 08/955,258, filed 10/21/1997, now U.S. Patent No. 5,901,942, issued 5/11/1999	
	29	U.S. Application No. 08/486,851, filed 6/7/1995, now abandoned	
	30	U.S. Application No. 08/476,127, filed 6/7/1995, now abandoned	
	31	U.S. Application No. 08/475,595, filed 6/7/1995, now abandoned	
	32	U.S. Application No. 09/150,580, filed 9/10/1998, now abandoned	
	33	U.S. Application No. 08/488,106, filed 6/7/1995, now U.S. Patent No. 5,928,204, issued 7/27/1999	
	34	U.S. Application No. 10/607,946, filed 6/27/2003, pending	
	35	U.S. Application No. 09/489,189, filed 1/20/2000, now U.S. Patent No. 6,599,273, issued 7/29/2003	
	36	U.S. Application No. 08/475,599, filed 6/7/1995, now abandoned	
	37	U.S. Application No. 08/479,681, filed 6/7/1995, now abandoned	
	38	U.S. Application No. 08/841,408, filed 4/22/1997, now U.S. Patent No. 5,873,862, issued 2/23/1999	
✓	39	U.S. Application No. 08/837,814, filed 4/22/1997, now U.S. Patent No. 6,132,403, issued 10/17/2000	

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SHEET 3 OF 3	Attorney Docket No.	ICUMM.011C8C5

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	40	U.S. Application No. 10/882,469, filed 7/1/2004, pending	
LT	41	U.S. Application No. 10/154,075, filed 5/22/2002, now U.S. Patent No. 6,758,833, issued 7/6/2004	
LT	42	U.S. Application No. 09/989,794, filed 11/19/2001, now U.S. Patent No. 6,682,509, Issued 1/27/2004	

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Examiner Signature     /Loan Thanh/	Date Considered     10/02/2006
<p>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

T<sup>1</sup> - Place a check mark in this area when an English language Translation is attached.

7-30-03

SHEET 1 OF 8

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ICUMM.011C8C5	APPLICATION NO. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT George A. Lopez	
		FILING DATE Herewith	GROUP Unknown

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		Des. 321,250	10/29/91	Jepson et al.			
		Des. 321,251	10/29/91	Jepson et al.			
		Des. 321,252	10/91	Jepson et al.			
		1,578,517	03/30/26	Hein			
		2,289,677	07/14/42	Perelson			
		2,342,215	02/44	Perelson			
		2,387,512	10/45	Hilberg			
		2,667,986	02/54	Perelson			
		2,696,212	12/07/54	Dunmire			
		2,847,995	08/19/58	Adams			
		2,935,067	05/03/60	Bouet			
		3,033,046	05/08/62	Rodda			
		3,134,380	05/26/64	Armao			
		3,135,281	08/02/64	Carroll			
		3,193,154	07/65	Bross			
		3,352,395	12/3/74	Huggins			
		3,354,881	11/28/67	Bloch			
		3,376,868	04/09/68	Ogle			
		3,416,567	12/68	Von Dardel et al.			
		3,500,821	03/17/70	Ogle			
		3,585,984	06/22/71	Buchanan			
		3,648,684	03/14/72	Barnwell et al.			
		3,734,080	05/22/73	Petterson et al.			
		3,788,519	01/74	Mengal			
		3,831,629	08/74	Mackal et al.			
		3,852,385	12/03/74	Huggins			
		3,882,863	05/13/75	Samoff et al.			

EXAMINER	/Loan Thanh/	DATE CONSIDERED	10/02/2006
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>			

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		3,886,930	06/03/75	Ryan			
		3,974,832	08/17/76	Kruck			
		3,976,063	08/24/76	Henneman et al.			
		3,976,073	08/24/76	Quick et al.			
		3,986,508	10/19/76	Barrington			
		3,993,063	11/23/76	Larrabee			
		4,019,512	04/26/77	Tenczar			
		4,056,116	11/01/77	Carter et al.			
		4,059,112	11/77	Tischlinger			
		4,066,067	01/03/78	Micheli			
		4,076,285	02/28/78	Martinez			
		4,079,738	03/21/78	Dunn et al.			
		4,080,965	03/28/78	Phillips			
		4,121,585	10/24/78	Becker, Jr.			
		4,128,098	12/05/78	Bloom et al.			
		4,133,314	01/79	Bloom et al.			
		4,150,672	04/24/79	Whitney et al.			
		4,161,949	07/24/79	Thanawalla			
		4,185,628	01/29/80	Kopfer			
		4,187,846	02/12/80	Lolachi et al.			
		4,191,225	03/80	Ogle			
		4,201,208	05/80	Cambio Jr.			
		4,214,779	07/29/80	Losell			
		4,219,912	09/02/80	Adams			
		4,243,034	01/06/81	Brandt			
		4,256,106	03/17/81	Shoor			
		4,294,249	10/13/81	Sheehan et al.			

EXAMINER /Loan Thanh/

DATE CONSIDERED 10/02/2006

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		4,296,949	10/27/81	Muetterlies et al.			
LT		4,306,705	12/81	Svensson			
		4,328,802	05/11/82	Curley et al.			
		4,329,987	05/18/82	Rogers et al.			
		4,334,551	08/15/82	Pfister			
		4,338,933	07/13/82	Bayard, et al.			
		4,362,156	12/07/82	Feller, Jr. et al.			
		4,392,499	07/83	Towse			
		4,411,662	10/25/83	Pearson			
		4,416,290	11/22/83	Lutkowski			
		4,417,890	11/29/83	Dennehey et al.			
		4,432,759	02/21/84	Gross, et al.			
		4,432,765	02/21/84	Oscarsson			
		4,439,188	03/27/84	Dennehey et al.			
		4,439,193	03/27/84	Larkin			
		4,449,539	05/22/84	Sarstedt			
		4,457,749	07/03/84	Bellotti et al.			
		4,508,367	04/02/85	Oreopoulos et al.			
		4,511,359	04/16/85	Vaillancourt			
		4,512,766	04/23/85	Vaillancourt			
		4,535,820	08/85	Raines			
		4,537,216	08/27/85	Schwartz et al.			
		4,564,054	01/14/86	Gustavsson			
		4,583,917	04/22/86	Shah			
		4,592,356	08/03/86	Gutierrez			
		4,607,868	08/86	Harvey et al.			
		4,610,469	09/09/86	Walf-Moolij			

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		FILING DATE Herewith	GROUP Unknown

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		4,614,437	09/86	Buehler			
		4,617,012	10/14/86	Vaillancourt			
		4,623,068	11/18/86	Brown et al.			
		4,624,667	11/86	Klnarak			
		4,639,019	01/87	Mittleman			
		4,645,494	02/24/87	Lee et al.			
		4,666,429	05/87	Stone			
		4,673,400	06/16/87	Martin			
		4,676,228	06/30/87	Krasner et al.			
		4,679,571	07/14/87	Frankel et al.			
		4,708,487	11/17/87	Bandou et al.			
		4,713,060	12/15/87	Riuli			
		4,725,267	02/16/88	Vailancourt			
		4,735,607	04/88	Keith, Jr.			
		4,752,292	06/21/88	Lopez et al.			
		4,759,756	07/88	Forman et al.			
		4,775,369	10/04/88	Schwartz			
		4,781,702	11/01/88	Hentli			
		4,782,841	11/88	Lopez			
		4,784,650	11/88	Coburn			
		4,790,829	12/13/88	Bowden et al.			
		4,810,241	03/07/89	Rogers			
		4,826,500	05/02/89	Rautsola			
		4,832,214	05/23/89	Schrader et al.			
		4,834,664	05/30/89	Lin			
		4,834,716	05/30/89	Ogle, II			
		4,846,809	07/11/89	Sims			

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		4,850,978	07/25/89	Dudar et al.			
		4,852,820	08/01/89	Jakubowicz et al.			
		4,874,377	10/17/89	Newgard et al.			
		4,878,897	11/07/89	Katzin			
		4,880,414	11/89	Whipple			
		4,889,527	12/89	Herrli			
		4,900,310	02/13/90	Ogle, II			
		4,915,887	04/90	Sivert			
		4,917,668	04/90	Haindl			
		4,928,212	05/22/90	Benavides			
		4,943,896	07/24/90	Johnson			
		4,950,260	08/21/90	Bonaldo			
		4,964,855	10/23/90	Todd et al.			
		4,969,883	11/13/90	Gilbert et al.			
		4,979,941	12/25/90	Ogle, II			
		4,981,469	01/01/91	Whitehouse et al.			
		4,998,713	03/12/91	Vaillancourt			
		4,998,921	03/12/91	Vickory et al.			
		4,998,927	03/12/91	Vaillancourt			
		5,008,114	04/91	Rogers et al.			
		5,009,490	04/23/91	Kuono et al.			
		5,018,532	05/28/91	Ethridge, III			
		5,024,816	06/91	Ogle, II			
		5,033,476	07/91	Kasai			
		5,048,456	09/10/91	Heyman et al.			
		5,064,416	11/12/91	Newgard			
		5,065,783	11/91	Ogle, II			

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		5,067,950	11/26/91	Broadnax, Jr.			
		5,069,225	12/03/91	Okamura			
		5,100,394	03/31/92	Dudar et al.			
		5,122,123	06/16/92	Vaillancourt			
		5,134,489	07/28/92	Sauer			
		5,134,703	10/13/92	Bonaldo			
		5,135,489	08/92	Jepson et al.			
		5,154,703	10/13/92	Bonaldo			
		5,158,554	10/27/92	Jepson et al.			
		5,163,922	11/92	McElveen, Jr. et al.			
		5,167,642	12/01/92	Fowles			
		5,167,647	12/01/92	Wijkamp et al.			
		5,167,648	12/01/92	Jepson et al.			
		5,171,234	12/15/92	Jepson et al.			
		5,188,620	02/23/93	Jepson et al.			
		5,199,947	04/06/93	Lopez			
		5,203,775	03/93	Frank et al.			
		5,211,638	05/18/93	Dudar et al.			
		5,242,432	09/93	DeFrank			
		5,251,873	10/93	Atkinson et al.			
		5,258,155	10/26/93	Yerikaya et al.			
		5,269,771	12/93	Thomas et al.			
		5,273,533	12/28/93	Bonaldo			
		5,290,254	03/01/94	Vaillancourt			
		5,295,857	03/94	Atkinson			
		5,344,414	09/06/94	Lopez et al.			
		5,380,306	01/95	Brinon			

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT		5,385,547	01/31/95	Wong et al.			
		5,401,245	03/28/95	Haining			
		5,411,499	05/02/95	Dudar et al.			
		5,423,753	06/13/95	Fowles et al.			
		5,439,451	08/95	Collinson et al.			
		5,487,731	01/30/96	Danton			
		5,549,566	08/27/96	Elias et al.			
		5,558,388	09/17/96	Johlin, Jr.			
		5,876,346	10/14/97	Leinsing			
		5,685,866	11/11/97	Lopez			
		5,694,686	12/9/97	Lopez			
		5,695,466	12/9/97	Lopez et al.			
		5,700,248	12/1997	Lopez			
		5,738,663	04/14/98	Lopez			

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
LT		FR 2439022	05/16/85	France				
		1,105,959	07/28/81	Canada				
		0 114 677	08/01/84	Europe				
		0 237 321	03/10/87	Europe				
		0 240 590	04/07/87	Europe				
		0 240 987	04/87	Europe				
		0 309 771	3/9/88	Europe				
		0 399 119	07/27/89	Europe				
		0 448 483	12/18/90	Europe				

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FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
LT		0 263 789	08/12/91	Europe				
		84 25 197.2	10/31/85	Germany				
		855 319	09/11/52	Germany				
		81386	01/92	Bulgaria				
		WO 88/01712	03/27/86	PCT				
		WO 88/03415	06/86	PCT				
		WO 88/03416	06/86	PCT				
		WO 91/06255	05/91	PCT				
		WO 93/11828	06/24/93	PCT				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
LT	"New Products and Services in I.V. Therapy", Official Journal of The National Intravenous Therapy Association, January-February 1982, Vol. 5, No. 1, pps. 71-72
	"Closed Drainage Bag with Noret Valve, Puncture port and Bel-Guard Spout", Baxter, Cat. No. 5912, 10/93
	"Urine Sampling Unit with 20 Ga Needle", Baxter, Cat. No. 9680, 02/92
	"Keeping your integrity intact, Mini-Bag Underfill Viaflex Containers", Travenol Laboratories, Inc.
	"Understanding the Acquired Immune Deficiency Syndrome", Journal of The National Intravenous Therapy Association, March-April 1984, Vol. 7, No 2, pps. 114-116
	"The Continu-Flo Administration System", Travenol
	"We Don't Overlook the Smallest Detail at McGaw", American Journal of Hospital Pharmacy, Vol 26, Jan 1969
	"Contamination rates and costs associated with the use of four intermittent intravenous infusion systems", American Journal of Hospital Pharmacy, Vol. 36, Nov. 1979
	"Evaluation of piggyback administration sets", Raisch, American Society of Hospital Pharmacy, Vol. 34, Dec. 1977

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EXAMINER	/Loan Thanh/	DATE CONSIDERED	10/02/2006
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Multiple sheets used when necessary)

SHEET 1 OF 1

Application No. 10/630,131  
Filing Date July 30, 2003  
First Named Inventor George A. Lopez, M.D.  
Art Unit 3763  
Examiner Loan H. Thanh  
Attorney Docket No. ICUMM.011C8C5

## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	1	"New Products and Services in I.V. Therapy", Official Journal of The National Intravenous Therapy Association, January-February 1982, Vol. 5, No. 1, pps. 71-72	
	2	"Closed Drainage Bag with Noret Valve, Puncture port and Bel-Guard Spout", Baxter, Cat. No. 5912, 10/93	
	3	"Urine Sampling Unit with 20 Ga Needle", Baxter, Cat. No. 9680, 02/92	
	4	"Keeping your integrity intact, Mini-Bag Underfill Vialflex Containers", Travenol Laboratories, Inc.	
	5	"Understanding the Acquired Immune Deficiency Syndrome", Journal of The National Intravenous Therapy Association, March-April 1984, Vol. 7, No 2, pps. 114-116	
	6	"The Continu-Flo Administration System", Travenol	
	7	"We Don't Overlook the Smallest Detail at McGaw", American Journal of Hospital Pharmacy, Vol 26, Jan 1969	
	8	"Contamination rates and costs associated with the use of four intermittent intravenous infusion systems", American Journal of Hospital Pharmacy, Vol. 36, Nov. 1979	
	9	"Evaluation of piggyback administration sets", Raisch, American Society of Hospital Pharmacy, Vol. 34, Dec. 1977	

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Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
<p>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>			

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ICUMM.011C8C5APPLICATION NO.  
10/630,131INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
George A. LopezFILING DATE  
July 30, 2003GROUP  
3763

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
LT	1	3,385,301	05/28/68	Harauneian			
	2	3,534,771	10/20/70	Eyerdam et al.			
	3	3,806,086	04/23/74	Cloyd			
	4	4,429,856	02/07/84	Jackson			
	5	4,629,159	12/16/86	Wellenstam			
	6	4,700,744	10/20/87	Rutter et al.			
	7	4,710,168	12/01/87	Schwab et al.			
	8	4,798,226	01/17/89	Struth			
	9	5,108,380	04/28/92	Herlitz et al.			
	10	5,353,837	10/11/94	Faust			
	11	5,360,413	11/01/94	Leason et al.			

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EXAMINER	/Loan Thanh/	DATE CONSIDERED	10/02/2006
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Application No. 10/630,131  
 Filing Date July 30, 2003  
 First Named Inventor George A. Lopez  
 Art Unit 3763  
 Examiner Loan H. Thanh  
 Attorney Docket No. ICUMM.011C8C5

(Multiple sheets used when necessary)

SHEET 1 OF 10

## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number Number - Kind Code (if known) Example: 1,234,567 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
LT	1	Des. 269,545	06/28/83	Cannon	
	2	Des. 274,355	06/19/84	Cannon	
	3	Des. 327,318	06/23/92	Duda, et al.	
	4	Re. 31,315	07/19/83	Jenkins, et al.	
	5	Re. 35,841	07/07/98	Frank, et al.	
	6	2,210,098	08/06/40	Ravenscroft	
	7	2,230,098	01/28/41	Wurzbarger	
	8	2,999,499	09/12/61	Willet	
	9	3,385,301	05/28/68	Harautuneian	
	10	3,502,097	03/24/70	Muller	
	11	3,534,771	10/20/70	Eyerdam, et al.	
	12	3,583,391	06/08/71	Coz, et al.	
	13	3,630,199	12/28/71	Gangarosa, et al.	
	14	3,659,602	05/02/72	Cloyd	
	15	3,717,174	02/20/73	Dewall	
	16	3,797,486	03/19/74	Shaps	
	17	3,806,086	04/23/74	Cloyd	
	18	3,830,241	08/20/74	Dye, et al.	
	19	3,861,388	01/21/75	Vaughn	
	20	3,932,065	01/13/76	Ginsberg, et al.	
	21	3,985,133	10/12/76	Jenkins, et al.	
	22	3,994,293	11/30/76	Ferro	
	23	4,005,710	02/01/77	Zeddies, et al.	
	24	4,022,205	05/10/77	Tenczar	
	25	4,040,420	08/09/77	Speer	
	26	4,116,196	09/26/78	Kaplan, et al.	
	27	4,149,535	04/17/79	Volder	
	28	4,191,183	03/04/80	Mendelson	
	29	4,204,538	05/27/80	Cannon	

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Date Considered 10/02/2006

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 2 OF 10	Attorney Docket No.	ICUMM.011C8C5

U.S. PATENT DOCUMENTS					
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LT	30	4,232,669	11/11/80	Nitshke	
	31	4,257,416	03/24/81	Prager	
	32	4,265,280	05/05/81	Ammann, et al.	
	33	4,327,726	05/04/82	Kwong, et al.	
	34	4,340,097	07/20/82	Ammann, et al.	
	35	4,340,148	07/20/82	Beckham	
	36	4,392,851	07/12/83	Elias	
	37	4,405,163	09/20/83	Voges, et al.	
	38	4,405,312	09/20/83	Gross, et al.	
	39	4,413,992	11/08/83	Soika	
	40	4,429,856	02/07/84	Jackson	
	41	4,440,207	04/03/84	Genatempo, et al.	
	42	4,447,230	05/08/84	Gula, et al.	
	43	4,450,079	05/22/84	Farr	
	44	4,452,473	06/05/84	Ruschke	
	45	4,496,352	01/29/85	Soika	
	46	4,515,591	05/07/85	Hemmerich, et al.	
	47	4,573,974	03/04/86	Ruschke	
	48	4,619,640	10/28/86	Potolsky, et al.	
	49	4,629,159	12/16/86	Wellenstam	
	50	4,655,753	04/07/87	Bellotti, et al.	
	51	4,698,207	10/06/87	Bringham, et al.	
	52	4,700,744	10/20/87	Rutter, et al.	
	53	4,710,168	12/01/87	Schwab, et al.	
	54	4,730,635	03/15/88	Linden	
	55	4,744,536	05/17/88	Bancalari	
	56	4,767,412	08/30/88	Hymanson	
	57	4,778,453	10/18/88	Lopez	
	58	4,790,832	12/13/88	Lopez	

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LT	59	4,798,226	01/17/89	Struth	
	60	4,813,938	03/21/89	Raulerson	
	61	4,816,024	03/28/89	Sitar, et al.	
	62	4,819,659	04/11/89	Sitar	
	63	4,819,684	04/11/89	Zaugg, et al.	
	64	4,823,833	04/25/89	Hogan, et al.	
	65	4,846,805	07/11/89	Sitar	
	66	4,846,810	07/11/89	Gerber	
	67	4,871,356	10/03/89	Haindl, et al.	
	68	4,895,562	01/23/90	Lopez	
	69	4,919,167	04/24/90	Manska	
	70	4,931,048	06/05/90	Lopez	
	71	4,932,944	06/12/90	Jagger, et al.	
	72	4,946,445	08/07/90	Lynn	
	73	4,946,495	08/07/90	Wada, et al.	
	74	5,089,001	02/18/92	Hwang	
	75	5,147,333	09/15/92	Raines	
	76	5,049,128	09/17/91	Duquette	
	77	5,020,562	06/04/91	Richmond, et al.	
	78	5,047,021	09/10/91	Utterberg	
	79	5,066,287	11/19/91	Ryan	
	80	5,071,411	12/10/91	Hillstead	
	81	5,098,405	03/24/92	Peterson, et al.	
	82	5,108,380	04/28/92	Herlitze, et al.	
	83	5,148,811	09/22/92	Messinger	
	84	5,161,773	11/10/92	Tower	
	85	5,171,231	12/15/92	Heiliger	
	86	5,195,992	03/23/93	Dudar, et al.	
	87	5,201,725	04/13/93	Kling	

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LT	88	5,213,578	05/25/93	Heiliger, et al.	
	89	5,242,413	09/07/93	Heiliger	
	90	5,242,425	09/07/93	White, et al.	
	91	5,281,206	01/25/94	Lopez	
	92	5,290,222	03/01/94	Feng, et al.	
	93	5,312,377	05/17/94	Dalton	
	94	5,324,270	06/28/94	Kayan, et al.	
	95	5,330,450	07/19/94	Lopez	
	96	5,336,174	08/09/94	Daoud, et al.	
	97	5,353,837	10/11/94	Faust	
	98	5,356,396	10/18/94	Wyatt, et al.	
	99	5,360,413	11/01/94	Leason, et al.	
	100	5,370,624	12/06/94	Edwards, et al.	
	101	5,688,254	11/18/97	Lopez, et al.	
	102	5,776,116	07/07/98	Lopez et al.	
	103	6,019,748	02/01/00	Lopez	

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
LT	104	UM-90784	10/07/94	Lopez		
	105	UM-91514	11/16/94	Lopez		
	106	1,232,175	02/02/88	Lopez, et al.		
	107	1,290,212	10/08/91	Lopez		
	108	1,305,903	08/04/92	Sitar		
	109	1,308,322	10/06/92	Lopez		
	110	1,315,165	03/30/93	Sitar, et al.		
	111	2,114,848	04/23/96	Lopez		
	112	1,435,244	0/407/88	Lopez, et al.		

Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
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	Art Unit	3763
SHEET 5 OF 10		Examiner Loan H. Thanh
		Attorney Docket No. ICUMM.011C8C5

### FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code-Number-Kind Code Example: JP 1234567 A1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
LT	113	32661	01/24/90	Lopez		
LT	114	WO 93/02724	02/18/93	Dudar et al.		
LT	115	PCT/SD/146	06/14/94	Lopez		

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	116	"Luer Syringe Check Valves", by Kalkey-Roberts, Product Information Sheet M-02	
	117	Intent-to-Use Trademark Application for Trademark "CLAVE", filed with the Assistant Commissioner for Trademarks on March 13, 1992	
	118	Docket Sheet for U.S. District Court – Central District of California (Southern Division – Santa Ana) Civil Docket for Case #: 8:04-cv-00689-AHS-VBK entitled <u>ICU Medical Inc. v. Alaris Medical Systems Inc.</u>	
	119	Plaintiff ICU Medical, Inc.'s Initial Disclosure of Asserted Claims and Preliminary Infringement Contentions Under Adopted Patent L.R. 301 dated February 1, 2005	
	120	Memorandum of Points and Authorities in Support of ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue Dated June 18, 2004	
	121	Declaration of Maureen Reitman in Support of ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue dated June 18, 2004	
	122	Declaration of George A. Lopez, M.D., in Support of ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue dated June 18, 2004	
	123	Defendant Alaris Medical Systems, Inc.'s Opposition to Plaintiff ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue dated June 21, 2004	
	124	Declaration of Janice F. McCampbell in Support of Defendant Alaris Medical Systems, Inc.'s Opposition to Plaintiff ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue dated June 21, 2004	
	125	Plaintiff ICU Medical, Inc.'s Reply to Defendant Alaris Medical System, Inc.'s Opposition to ICU Medical, Inc.'s Ex Parte Application for Temporary Restraining Order and Order to Show Cause Why a Preliminary Injunction Should Not Issue dated June 23, 2004	
	126	Defendant Alaris Medical Systems, Inc.'s Response to Order to Show Cause Why a Preliminary Injunction Should Not Issue dated July 6, 2004	
✓	127	Supplemental Declaration of Janice F. McCampbell in Support of Alaris Medical Systems, Inc.'s Response to the Order to Show Cause dated June 21, 2004	

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SHEET 6 OF 10	Attorney Docket No.	ICUMM.011C8C5

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LT	128	Defendant Alaris Medical Systems, Inc.'s Notice of Errata to its Response to Order to Show Cause Why a preliminary Injunction Should Not Issue dated July 8, 2004	
	129	Plaintiff ICU Medical, Inc.'s Reply to Defendant Alaris Medical Systems, Inc.'s Response to Order to Show Cause Why a Preliminary Injunction Should Not Issue dated July 12, 2004	
	130	Plaintiff ICU Medical, Inc.'s [Proposed] Findings of Fact and Conclusions of Law in Support of Preliminary Injunction dated	
	131	[Proposed] Findings of Fact and Conclusions of Law on Order to Show Cause Why a Preliminary Injunction Should Not Issue	
	132	Order Denying Plaintiff's Motion for a preliminary Injunction and Findings of Fact and Conclusions of Law dated July 30, 2004	
	133	Plaintiff ICU Medical, Inc.'s Memorandum of Points and Authorities in Support of its Motion Under Fed. R. Div. P. 15(a) for Leave to File an Amended Complaint dated October 4, 2004	
	134	[Proposed] Amended Complaint for Patent Infringement	
	135	Defendant Alaris Medical Systems, Inc.'s Opposition to Plaintiff's Motion Under Fed. R. Civ. P. 15(a) for Leave to File an Amended Complaint dated October 8, 2004	
	136	Plaintiff ICU Medical, Inc.'s Reply to Alaris Medical Systems, Inc.'s Opposition to ICU's Motion Under Fed. R. Civ. P. 15(a) for Leave to File an Amended Complaint dated October 18, 2004	
	137	Order Granting ICU Medical Inc.'s Motion for Leave to File First Amended Complaint dated December 27, 2004	
	138	Civil Minutes for Granting of Plaintiff and Counter-Defendant ICU Medical Inc.'s Motion Under F.R. Civ. P. 15(A) for Leave to File an Amended Complaint dated December 28, 2004	
	139	Plaintiff ICU Medical, Inc.'s Memorandum of Points and Authorities in Support of Motion to Strike and Dismiss Affirmative Defenses and Counterclaims of Alaris Medical Systems, Inc.'s First Amended Answer and Counterclaims to ICU's First Amended Complaint dated February 11, 2005	
	140	Alaris Medical System, Inc.'s First Amended Answer to Amended Complaint and Declaratory Judgment Counterclaims	
	141	Docket Sheet for U.S. District Court – California Northern District (San Francisco)b Civil Docket for Case #: 3:01-cv-03202 entitled <u>ICU Medical Inc. v. B. Braun Medical, Inc.</u>	
	142	Summons and Complaint for Patent Infringement filed August 21, 2001	
	143	First Amended Answer and First Amended Counterclaims dated January 10, 2002	
	144	Plaintiff ICU Medical, Inc.'s Reply to defendant B. Braun Medical, Inc.'s Counterclaims dated January 5, 2002	
	145	Defendant's Patent L.R. 30-3 Preliminary Invalidity Contentions dated March 7, 2002	
✓	146	Joint Claim Construction and Prehearing Statement Pursuant to Patent L.R. 40-3	

Examiner Signature     /Loan Thanh/	Date Considered     10/02/2006
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	Art Unit	3763
	Examiner	Loan H. Thanh
SHEET 7 OF 10	Attorney Docket No.	ICUMM.011C8C5

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LT	147	Plaintiff ICU Medical, Inc.'s Amended Initial Disclosure of Asserted Claims Under Patent L.R. 3-1 and Preliminary Infringement Contentions dated May 20, 2002	
	148	Revised Joint Claim construction and Prehearing Statement Pursuant to Patent L.R. 4-3 dated July 3, 2002	
	149	Plaintiff ICU Medical, Inc.'s Opening Brief on Claim Construction dated July 5, 2002	
	150	Declaration of Dana (Randy) Prozeller in Support of Plaintiff ICU Medical, Inc.'s Opening Brief on Claims Construction dated July 4, 2002	
	151	Declaration of Thomas F. Fangrow in Support of Plaintiff ICU Medical, Inc.'s Opening Brief on Claim Construction dated July 4, 2002	
	152	Braun's Memorandum of Points and Authorities in Support of its Motion for summary Adjudication on the Priority Date of the '048 patent dated August 2, 2002	
	153	Braun's Answering Brief of Claim Construction dated August 2, 2002	
	154	Declaration of Neil J. Sheehan in Support of Braun's Reply Brief on Claim Construction dated August 2, 2002	
	155	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Adjudication on the Priority Date of the '048 Patent dated August 16, 2002	
	156	Plaintiff ICU Medical, Inc.'s Reply Brief on Claim Construction dated October 15, 2002	
	157	B. Braun Medical Inc.'s Surreply Brief on Claim Construction dated November 14, 2002	
	158	Joint Statement on Five Claim Terms/Issues to be Presented at Claim Construction Hearing dated November 14, 2002	
	159	Claim Construction Order dated November 27, 2002	
	160	Braun's Motion and memorandum of Points and Authorities in Support of its Motion for Summary Judgment of Invalidity of the '204 Patent dated January 17, 2003	
	161	Defendant's Patent L.R. 3-6(b) Final Invalidity Contentions dated January 21, 2003	
	162	Plaintiff ICU Medical, Inc.'s Motion of Motion and Motion for Summary judgment of Infringement and Memorandum of Points and Authorities in Support thereof dated January 31, 2003	
	163	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary judgment of invalidity of the '204 Patent dated January 31, 2003	
	164	Braun's Reply memorandum in Support of its Motion for Summary Judgment of Invalidity of the '204 Patent dated February 7, 2003	
↓	165	Braun's Memorandum in Opposition of ICU's Motion for Summary Judgment of Infringement dated February 14, 2003	

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LT	166	Declaration of Neil Sheehan in Opposition to ICU Medical, Inc.'s Motion for Summary judgment of Infringement dated February 14, 2003	
	167	Declaration of Dr. Vijay Kumar in Opposition to ICU medical, Inc.'s Motion for summary Judgment of Infringement dated February 14, 2003	
	168	Plaintiff ICU Medical, Inc.'s Reply in Support of Motion for Summary Judgment of Infringement dated February 21, 2003	
	169	Memorandum and Order dated March 12, 2003	
	170	Braun's Motion for and Memorandum in Support of Summary Judgment of Non-Infringement dated April 25, 2003	
	171	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary judgment of Non-Infringement dated May 14, 2003	
	172	Declaration of Maureen Reitman in Support of Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary judgment of Non-Infringement dated May 14, 2003	
	173	Declaration of Sanjay Govindjee in Support of Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Non-Infringement dated May 13, 2003	
	174	Braun's Reply Memorandum in Support of its Motion for Summary Judgment of Non-Infringement of the '204 Patent dated May 21, 2003	
	175	Declaration of Peter W. Peppel in Support of Braun's Motion for Summary Judgment of Non-Infringement dated May 21, 2003	
	176	Order Denying defendant's Motion for Summary Judgment of Non-Infringement dated June 4, 2003	
	177	Braun's Motion and Memorandum for Leave to File its Second Amended Answer and First Amended Counterclaims dated July 11, 2003	
	178	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Leave to File Second Amended Answer and First Amended Counterclaim dated August 1, 2003	
	179	Braun's Reply Memorandum in Support of its Motion for Leave to File its Second Amended Answer and Counterclaims dated August 15, 2003	
	180	Order dated August 28, 2003	
	181	[Proposed] First Amended Complaint for Patent Infringement	
	182	Braun's First Answer and Counterclaims to ICU's First Amended Complaint dated March 4, 2004	
	183	Plaintiff ICU Medical, Inc.'s Notice of Motion and Motion for Summary judgment of Infringement of the '673 Patent and Memorandum of Points and Authorities in Support Thereof dated March 29, 2004	
	184	Plaintiff ICU Medical, Inc.'s Reply to defendant B. Braun Medical, Inc.'s Counterclaims to ICU's First Amended Complaint dated March 29, 2004	

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LT	185	Plaintiff ICU Medical, Inc.'s Notice of Motion, Motion to Strike Defense of B. Braun Medical, Inc.'s First Answer and Counterclaims to ICU's First Amended Complaint and memorandum of Points and Authorities in Support of Motion dated March 29, 2004	
	186	Braun's Opposition to Plaintiff ICU's Motion to Strike Braun's Defenses of Inequitable Conduct dated April 23, 2004	
	187	Plaintiff ICU Medical, Inc.'s Reply to defendant Braun medical, Inc.'s Opposition to ICU's Motion to Strike Braun's Defenses of Inequitable Conduct dated May 7, 2004	
	188	Order dated June 4, 2004	
	189	Joint Claim Construction and Prehearing Statement for '673 Patent	
	190	Revised Joint Claim Construction and Prehearing Statement for '773 Patent dated August 27, 2004	
	191	Plaintiff ICU Medical, Inc.'s Opening Brief on Claim Construction of '673 Patent dated August 27, 2004	
	192	Declaration of Dana (Randy) Prozeller in Support of Plaintiff ICU Medical, Inc.'s Opening Brief on Claim Construction for the '673 Patent dated August 27, 2004	
	193	Declaration of Neil J. Sheehan in Support of Braun's Brief on Claim Construction of the '673 Patent dated September 10, 2004	
	194	Braun's Memorandum of Points and Authorities in Support of its Positions on Claim Construction Pursuant to Patent L.R. 4-5 dated September 10, 2004	
	195	Reply in Support of Plaintiff ICU Medical, Inc.'s Opening Brief on Claim Construction of '673 Patent dated September 21, 2004	
	196	Claim Construction Order dated November 8, 2004	
	197	Defendant's Patent L.R. 3-6(b) Final Invalidity Contentions for the '673 Patent dated December 28, 2004	
	198	Plaintiff ICU Medical, Inc.'s Notice of Motion and Motion for Summary Judgment on Defendant B. Braun medical, Inc.'s Inequitable Conduct Defense and Memorandum of Points and Authorities in Support Thereof dated January 7, 2005	
	199	Braun's Motion and memorandum in Support of Summary Judgment of Non-Infringement of the '673 abd '204 Patents by Braun's Ultrasite® Valve With Modified Piston dated January 7, 2005	
	200	Braun's Motion and memorandum in Support of Summary Judgment of Non-Infringement of the '673 Patent by the Accused Braun Ultrasite® Valve dated January 7, 2005	
	201	Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of Non-Infringement of the '673 and '204 Patent by Braun's Ultrasite Valve with modified Piston dated January 21, 2005	
↓	202	Plaintiff ICU Medical, Inc.'s Opposition to B. Braun medical, Inc.'s Motion for Summary judgment of Non-Infringement of the '673 Patent dated January 21, 2005	

Examiner Signature	/Loan Thanh/	Date Considered	10/02/2006
<p>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>			

T<sup>1</sup> - Place a check mark in this area when an English language Translation is attached.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Application No.	10/630,131
	Filing Date	July 30, 2003
	First Named Inventor	George A. Lopez
	Art Unit	3763
(Multiple sheets used when necessary)	Examiner	Loan H. Thanh
SHEET 10 OF 10	Attorney Docket No.	ICUMM.011C8C5

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>1</sup>
LT	203	Braun's Memorandum in Opposition to ICU's Motion for Summary Judgment of Infringement of the '673 Patent dated January 13, 2005	
	204	Braun's Memorandum of Points and Authorities in Opposition to Plaintiff ICU Medical, Inc.'s Motion for Summary Judgment of No Inequitable Conduct dated January 21, 2005	
	205	Plaintiff ICU Medical, Inc.'s Reply in Support of Its Motion for Summary Judgment on Defendant B. Braun Medical, Inc.'s Inequitable Conduct Defense dated January 28, 2005	
	206	Plaintiff ICU Medical, Inc.'s Reply in Support of Its Motion for Summary Judgment of Infringement of the '673 Patent dated January 28, 2005	
	207	Braun's Reply Memorandum in Support of Summary Judgment of Non-Infringement of the '673 Patent by the Accused Braun Ultrasite® Valve dated January 28, 2005	
	208	Braun's Reply to Plaintiff ICU Medical, Inc.'s Opposition to Braun's Motion for Summary Judgment of the '673 and '204 Patents by Braun's Untrasite® Valve With Modified Piston dated January 28, 2005	
	209	Expert Report of Neil Sheehan on the Validity of the '204 and '673 Patents dated January 14, 2005	
	210	Expert Report of Devinder Grewal in Rebuttal to Neil Sheehan's Report of Validity of the '204 and '673 Patents dated February 4, 2005	
↓	211	Expert Report of Neil Sheehan in Reply to the 2/4/05 Report of Devinder Grewal on the Validity of the '204 and '673 Patents dated February 18, 2005	

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Examiner Signature     /Loan Thanh/	Date Considered     10/02/2006
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